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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/780,813	02/09/2001	Norman Wesley Gimbert	13DV13702	8660

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EXAMINER
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CHAI, LONGBIT

ART UNIT	PAPER NUMBER
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2131

DATE MAILED: 08/26/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/780,813

Applicant(s)

GIMBERT ET AL.

Examiner

Longbit Chai

Art Unit

2131

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
  - If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
  - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
  - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☐ Claim(s) \_\_\_\_ is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 09 February 2001 is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 4.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_.

## **DETAILED ACTION**

### ***Priority***

1. Applicant's claim for domestic priority under 35 U.S.C. 119(e) is acknowledged.
2. The application is filed on 2/9/2001 but claims the benefit of U.S. provisional application number 60/242,790 filed on 10/24/2000.
3. Therefore, the effective filing date for the subject matter defined in the pending claims in this application is 10/24/2000.

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1 – 4 and 7 – 9 and 11 – 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Guheen (Patent Number: US 6721713 B1), hereinafter referred to as Guheen.
5. As per claim 1, Guheen teaches a computer implemented system of secure transmission and collaboration of information between employees of an entity and employees of a regulatory agency for the purpose of obtaining disposition by said regulatory agency, said system comprising:

Art Unit: 2131

a. a web server that is behind at least one firewall, wherein said web server connects employees of said entity and employees of said regulatory agency and is maintained and hosted by said entity for use by said regulatory agency (Guheen: see for example, Column 184 Line 63 – 67, Column 185 Line 1 – 52, Column 180 Line 27 – 36, Column 71 Line 8 – 12, Column 75 Line 36 – 41, Column 66 Line 32 – 36, Column 213 Line 9 – 10, Column 39 Line 20 – 33 and Column 161 Line 16 – 24: Guheen teaches a system to convey information among a plurality of business alliance entities (Guheen: see for example, Column 2 Line 13 – 23).

6. Guheen does not expressly teach the business alliance entities are the employee of regulatory agencies and the employee of an entity.

7. However, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the business alliance entities to accommodate regulatory agencies and the employee of an entity because Guheen discloses those entities include government agencies using WAF (Web Architecture Framework) (Guheen: see for example, Column 213 Line 9 – 10) and the information management also covers the SLA (System Level Agreement) (Guheen: see for example, Column 39 Line 20 – 33) – SLA is often used in the field between the employee of regulatory agencies (such as FAA) and the employee of an entity (such as its contractor ITT).

b. a database that is behind at least one firewall and is connected to said web server, wherein the contents of said database are in computer-readable form within a

secure network and are maintained and hosted by said entity for use by said regulatory agency (Guheen: see for example, Column 180 Line 27 – 36, Column 65 Line 50 – 63).

8. As per claim 12, Guheen teaches a computer implemented method of secure transmission and collaboration of information between employees of an entity and employees of a regulatory agency for the purpose of obtaining disposition by said regulatory agency, said method comprising the steps of:

a. collecting and storing information concerning regulator approval (Guheen: see for example, Column 199 Line 14 – 16 and Column 39 Line 20 – 33: Guheen does not expressly teach the electronic agreements are associated with regulatory agencies).

9. However, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the business alliance entities to accommodate regulatory agencies and the employee of an entity because Guheen discloses those entities include government agencies using WAF (Web Architecture Framework) (Guheen: see for example, Column 213 Line 9 – 10) and the information management also covers the SLA (System Level Agreement) (Guheen: see for example, Column 39 Line 20 – 33) – SLA is often used in the field between the employee of regulatory agencies (such as FAA) and the employee of an entity (such as its contractor ITT).

b. establishing, hosting and maintaining a database of said information (Guheen: see for example, Column 180 Line 27 – 36, Column 65 Line 50 – 63);

c. establishing and maintaining a secure environment for said database (Guheen: see for example, Column 71 Line 8 – 12, Column 75 Line 36 – 41);

Art Unit: 2131

- d. providing the employees of said regulatory agency with authorization to obtain said information from said database (Guheen: see for example, Column 73 Line 45 – 47);
- e. providing the employees of said regulatory agency with the capability to request information from said database (Guheen: see for example, Column 73 Line 45 – 47);
- f. providing the employees of said regulatory agency the capability to add information to said database (Guheen: see for example, Column 73 Line 45 – 47); and
- g. providing the employees of said regulatory agency the capability to modify said information within said database (Guheen: see for example, Column 73 Line 45 – 47).

10. As per claim 2 and 13, Guheen as modified teaches the claimed invention as described above (see claim 1 and 12 respectively). Guheen as modified further teaches a security system to control access to various functions of said system according to a user's identity (Guheen: see for example, Column 75 Line 36 – 41).

11. As per claim 3 and 14, Guheen as modified teaches the claimed invention as described above (see claim 1 and 12 respectively). Guheen as modified further teaches a series of web pages containing information concerning past compliance with agency regulations (Guheen: see for example, Column 76 Line 7 – 13, Column 83 Line 5 – 12 and Column 237 Line 50 – 51).

12. As per claim 4 and 18, Guheen as modified teaches the claimed invention as described above (see claim 1 and 12 respectively). Guheen as modified further teaches an automatic electronic mail program which notifies designated users of information

relating to agency disposition in computer-readable form within a secure network (Guheen: see for example, Column 218 Line 39, Column 69 Line 34 – 51).

13. As per claim 7, Guheen as modified teaches the claimed invention as described above (see claim 1). Guheen as modified further teaches database contains information concerning products and services (Guheen: see for example, Column 11 Line 12 – 16).

14. As per claim 8 and 15, Guheen as modified teaches the claimed invention as described above (see claim 1 and 12 respectively). Guheen as modified further teaches documents can be created, edited, deleted, stored and retrieved in computer-readable form within a secure network (Guheen: see for example, Column 73 Line 45 – 47).

15. As per claim 9, 16 and 17, Guheen as modified teaches the claimed invention as described above (see claim 1 and 12 respectively). Guheen as modified further teaches a personalized index of tasks is stored and retrievable in computer readable form within a secure network and is displayed when a user's identity is authorized (Guheen: see for example, Column 218 Line 39, Column 69 Line 34 – 51).

16. As per claim 11 and 20, Guheen as modified teaches the claimed invention as described above (see claim 1 and 12 respectively). Guheen as modified further teaches formalizing approval from the agency with an electronic signature (Guheen: see for example, Column 71 Line 2 – 3).

17. As per claim 19, Guheen as modified teaches the claimed invention as described above (see claim 1). Guheen as modified further teaches searching for a document relating to obtaining approval from a regulatory agency (Guheen: see for example,

Column 218 Line 39, Column 69 Line 4: Impact Analysis Report is one of the crucial elements to obtain the agency approval).

18. Claims 5, 6 and 10 rejected under 35 U.S.C. 103(a) as being unpatentable over Guheen (Patent Number: US 6721713 B1), hereinafter referred to as Guheen, in view of Levergood (Patent Number: 5708780), hereinafter referred to as Levergood.

19. As per claim 5, Guheen as modified teaches the claimed invention as described above (see claim 1). Guheen as modified further teaches designated users receive an electronic message containing information concerning a modification of a document's status and a hypertext link to the associated document (Guheen: see for example, Column 218 Line 39, Column 237 Line 50 – 51, Column 69 Line 34 – 51, Column 76 Line 7 – 13 and Column 83 Line 5 – 12 and: Guheen as modified does not disclose expressly a hypertext link to the associated document).

20. Levergood teaches a hypertext link to the associated document (Levergood: see for example, Column 10 Line 4 – 6).

21. However, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the software update to accommodate document because (a) Guheen teaches providing a HTTP link to software update (Guheen: see for example, Column 237 Line 50 – 51) and (b) Levergood discloses an Internet access control and monitoring system capable of using HTTP link to document.



Art Unit: 2131

22. As per claim 6, Guheen as modified teaches the claimed invention as described above (see claim 1). Guheen as modified further teaches users receive an electronic message corresponding to an assigned task including a hypertext link to the documents associated with said assigned task (Guheen: see for example, Column 218 Line 39, Column 237 Line 50 – 51, Column 69 Line 34 – 51, Column 76 Line 7 – 13 and Column 83 Line 5 – 12 and: Guheen as modified does not disclose expressly a hypertext link to the associated document).

23. Levergood teaches a hypertext link to the associated document (Levergood: see for example, Column 10 Line 4 – 6).

24. However, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the software update to accommodate document because (a) Guheen teaches providing a HTTP link to software update (Guheen: see for example, Column 237 Line 50 – 51) and (b) Levergood discloses an Internet access control and monitoring system capable of using HTTP link to document.

25. As per claim 10, Guheen as modified teaches the claimed invention as described above (see claim 9). Guheen as modified further teaches a document associated with an assigned task is hypertext linked to the personalized task list (Guheen: see for example, Column 218 Line 39, Column 237 Line 50 – 51, Column 69 Line 34 – 51, Column 76 Line 7 – 13 and Column 83 Line 5 – 12 and: Guheen as modified does not disclose expressly a hypertext link to the associated document).

26. Levergood teaches a hypertext link to the associated document (Levergood: see for example, Column 10 Line 4 – 6).

27. However, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify the software update to accommodate document because (a) Guheen teaches providing a HTTP link to software update (Guheen: see for example, Column 237 Line 50 – 51) and (b) Levergood discloses an Internet access control and monitoring system capable of using HTTP link to document.


Any inquiry concerning this communication or earlier communications from the examiner should be directed to Longbit Chai whose telephone number is 703-305-0710. The examiner can normally be reached on Monday-Friday 8:00am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz R Sheikh can be reached on 703-305-9648. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Longbit Chai  
Examiner  
Art Unit 2131

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